

01-07-00

PTO/SB/05 (4/98)

09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

Attorney Docket No. 97-1804

First Inventor or Application Identifier C. A. RANDALL

Title FABRICATION OF PARTICULATE TAPES BY
ELECTROPHORETIC DEPOSITION

Express Mail Label No. EK311844788US

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TOAssistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 29]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the invention
 - Brief Summary of the invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
- Oath or Declaration [Total Sheets 2]
- a. ☒ Unexecuted copy
- b. ☐ Copy from a prior application (37 C.F.R. §1.63(d))
(for continuation/divisional with Box 16 completed)
- i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting
inventor(s) named in the prior application,
see 37 C.F.R. §§1.63(d)(2) and 1.33(b)

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence submission
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. §3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
9. ☐ English Translation Document (if applicable)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☒ * Small Entity Statement(s) ☐ Statement filed in prior application, Status still proper and desired (PTO/SB/09-12)
14. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
15. ☐ Other:

*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. §1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. §1.28)

If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below in a preliminary amendment

Claiming priority to

60/115,075 filed on 01/07/99

☐ Continuation ☐ Divisional ☐ Continuation-in-part

of prior application No.:

Prior application information:

Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS☐ Customer Number or Bar Code Label

or

☐ Correspondence address below

(Insert Customer No. or Attach Bar code label here)

Name	Thomas J. Monahan				
	Intellectual Property Office				
Address	The Pennsylvania State University				
	113 Technology Center				
City	University Park	State	PA	Zip Code	16802-7000
Country	United States	Telephone	(814) 865-6279	Fax	(814) 865-3591

Name (Print / Type) Thomas J. Monahan

Registration No. (Attorney/Agent)

29,835

Signature

Date:

01/06/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SENT TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

**STATEMENT CLAIMING SMALL ENTITY STATUS
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

Docket Number (Optional)

97-1804

Applicant, Patentee, or Identifier: C. A. RANDALL, et al.

Application or Patent No.: _____

Filed or Issued: January 06, 2000

Title: FABRICATION OF PARTICULATE TAPES BY ELECTROPHORETIC DEPOSITION

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION The Penn State Research Foundation

ADDRESS OF NONPROFIT ORGANIZATION 304 Old Main

University Park, PA 16802

TYPE OF NONPROFIT ORGANIZATION:

- ☐ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☒ the specification filed herewith with title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
- ☐ each such person, concern, or organization is listed below.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Thomas J. Monahan (Reg. No. 29,835)

TITLE IN ORGANIZATION OF PERSON SIGNING Director, Intellectual Property Office

ADDRESS OF PERSON SIGNING 113 Technology Center, University Park, PA 16802-7000

SIGNATURE [Signature] DATE January 06, 2000

Practitioner's Docket No.: 97-1804

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: C. A. RANDALL, et al.

Serial No.:

Group No.:

Filed: 01/06/2000

Examiner:

For: FABRICATION OF PARTICULATE TAPES BY ELECTROPHORETIC
DEPOSITION

Assistant Commissioner for Patents
Washington D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number: EK311844788US

Date of Deposit: January 06, 2000

I hereby state that the following *attached* paper or fee:

- 1 Fee Transmittal Form (in duplicate)
- 1 Utility Patent Application
- 1 Small Entity Statement
- 29 pages of Specifications
- 5 Sheets of Drawings
- 1 unexecuted Declaration
- 1 Information Disclosure Statement
- 16 examples of Prior Art
- 1 Return Receipt Postcard

Is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Ruth A. Harpster




Typed or printed name of person mailing paper or fee

Ruth A. Harpster

Signature of person mailing paper or fee

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(Express Mail Certificate [8-3])

FEE TRANSMITTAL				Complete if Known																																																																																																																																																																																																																																																																																																																																																				
<i>Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.</i>				Application Number																																																																																																																																																																																																																																																																																																																																																				
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			<table border="1" style="width: 100%; border-collapse: collapse; font-size: 0.7em;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Small Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge – late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge – late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive – unavoidable</td><td></td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive – unintentional</td><td></td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional application</td><td></td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td><td></td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146</td><td>760</td><td>246</td><td>380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td></td></tr> <tr><td>149</td><td>760</td><td>249</td><td>380</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td></td></tr> <tr><td colspan="6">Other fee (specify) _____</td></tr> <tr><td colspan="6">Other fee (specify) _____</td></tr> <tr> <td colspan="3" style="text-align: right;">* Reduced by Basic Filing Fee Paid</td> <td colspan="3" style="text-align: right;">SUBTOTAL (3) (\$)</td> </tr> <tr> <td colspan="3" style="text-align: right;">0.00</td> <td colspan="3" style="text-align: right;">0.00</td> </tr> <tr> <td colspan="3" style="text-align: center; font-weight: bold;">1. BASIC FILING FEE</td> <td colspan="3"></td> </tr> <tr> <td>Large Fee Code</td> <td>Entity Fee (\$)</td> <td>Small Fee Code</td> <td>Entity Fee (\$)</td> <td>Fee Description</td> <td>Fee Paid</td> </tr> <tr> <td>101</td> <td>690</td> <td>201</td> <td>345</td> <td>Utility filing fee</td> <td>345.00</td> </tr> <tr> <td>106</td> <td>310</td> <td>206</td> <td>155</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>480</td> <td>207</td> <td>240</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>690</td> <td>208</td> <td>345</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (1) (\$)</td> <td>345.00</td> </tr> <tr> <td colspan="6" style="text-align: center; font-weight: bold;">2. EXTRA CLAIM FEES</td> </tr> <tr> <td colspan="2">Total Claims</td> <td colspan="2">Extra Claims</td> <td>Fee from below</td> <td>Fee Paid</td> </tr> <tr> <td colspan="2">31</td> <td colspan="2">-20** = 11</td> <td>9</td> <td>99.00</td> </tr> <tr> <td colspan="2">Independent Claims</td> <td colspan="2">-3** = 0</td> <td>0</td> <td>0.00</td> </tr> <tr> <td colspan="2">Multiple Dependent</td> <td colspan="2"></td> <td>0</td> <td>0.00</td> </tr> <tr> <td colspan="6">**or number previously paid, if greater; For Reissues, see below</td> </tr> <tr> <td>Large Fee Code</td> <td>Entity Fee (\$)</td> <td>Small Fee Code</td> <td>Entity Fee (\$)</td> <td>Fee Description</td> <td></td> </tr> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9</td> <td>Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>78</td> <td>202</td> <td>39</td> <td>Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>260</td> <td>204</td> <td>130</td> <td>Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>109</td> <td>78</td> <td>209</td> <td>39</td> <td>**Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9</td> <td>**Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="5" style="text-align: right;">SUBTOTAL (2) (\$)</td> <td>99.00</td> </tr> <tr> <td colspan="3" style="text-align: center; font-weight: bold;">SUBMITTED BY</td> <td colspan="3" style="text-align: center; font-weight: bold;">Complete (if applicable)</td> </tr> <tr> <td colspan="3">Typed or Printed Name</td> <td colspan="3">Reg. Number</td> </tr> <tr> <td colspan="3">Thomas J. Monahan</td> <td colspan="3">29,835</td> </tr> <tr> <td colspan="3">Signature</td> <td>Date</td> <td colspan="2">Deposit Account User ID</td> </tr> <tr> <td colspan="3"></td> <td>01/06/00</td> <td colspan="2"></td> </tr> </tbody> </table>			Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge – late filing fee or oath		127	50	227	25	Surcharge – late provisional filing fee or cover sheet		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	380	216	190	Extension for reply within second month		117	870	217	435	Extension for reply within third month		118	1,360	218	680	Extension for reply within fourth month		128	1,850	228	925	Extension for reply within fifth month		119	300	219	150	Notice of Appeal		120	300	220	150	Filing a brief in support of an appeal		121	260	221	130	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive – unavoidable		141	1,210	241	605	Petition to revive – unintentional		142	1,210	242	605	Utility issue fee (or reissue)		143	430	243	215	Design issue fee		144	580	244	290	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	50	123	50	Petitions related to provisional application		126	240	126	240	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))		149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify) _____						Other fee (specify) _____						* Reduced by Basic Filing Fee Paid			SUBTOTAL (3) (\$)			0.00			0.00			1. 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138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																																																																																																																																																																																																				
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141	1,210	241	605	Petition to revive – unintentional																																																																																																																																																																																																																																																																																																																																																				
142	1,210	242	605	Utility issue fee (or reissue)																																																																																																																																																																																																																																																																																																																																																				
143	430	243	215	Design issue fee																																																																																																																																																																																																																																																																																																																																																				
144	580	244	290	Plant issue fee																																																																																																																																																																																																																																																																																																																																																				
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																																																																																																																																																																																																				
123	50	123	50	Petitions related to provisional application																																																																																																																																																																																																																																																																																																																																																				
126	240	126	240	Submission of Information Disclosure Stmt																																																																																																																																																																																																																																																																																																																																																				
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																																																																																																																																																																																																				
146	760	246	380	Filing a submission after final rejection (37 CFR 1.129(a))																																																																																																																																																																																																																																																																																																																																																				
149	760	249	380	For each additional invention to be examined (37 CFR 1.129(b))																																																																																																																																																																																																																																																																																																																																																				
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101	690	201	345	Utility filing fee	345.00																																																																																																																																																																																																																																																																																																																																																			
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107	480	207	240	Plant filing fee																																																																																																																																																																																																																																																																																																																																																				
108	690	208	345	Reissue filing fee																																																																																																																																																																																																																																																																																																																																																				
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109	78	209	39	**Reissue independent claims over original patent																																																																																																																																																																																																																																																																																																																																																				
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